

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No. : (To Be Assigned) Confirmation No. : (TBA)  
 (PCT/EP2004/01326) **AP20 Rec'd PCT/PTO 13 JUN 2006**  
 First Named Inventor : Dirk ZEISE  
 Filed : June 13, 2006  
 TC/A.U. : (To Be Assigned)  
 Examiner : (To Be Assigned)  
 Docket No. : 095309.57858US  
 Customer No. : 23911  
 Title : Running Gear and Production Method

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 C.F.R. §§ 1.97 AND 1.98**

Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, the attached Form PTO-1449 lists documents which the Examiner may deem relevant to patentability of the claims of the above-identified application.

I. Time Period of Submission

This Information Disclosure Statement is submitted:

☒ 1) no later than three months from the application's filing date or 2) before the mailing date of the first Office Action on the merits (whichever is later) or 3) before a first Office Action after the filing of a Request for Continued Examination, and therefore no statement under 37 C.F.R. § 1.97(e) or fee under 37 C.F.R. § 1.17(p) is required.

☐ 2) after the later of three months from the application's filing date and the mailing date of the first Office Action on the merits, but before a Final Office Action, a Notice of Allowance, or an action closing prosecution (*Ex parte Quayle*), (whichever is earlier), and therefore Applicant is filing concurrently herewith:

☐ a Statement under 37 C.F.R. § 1.97(e); or

☐ a fee in the amount of \$180.00 under 37 C.F.R. § 1.17(p).

☐ 3) after either a Final Office Action or a Notice of Allowance, but before payment of the Issue Fee, and therefore Applicant is submitting herewith:

a Statement under 37 C.F.R. § 1.97(e); and

a fee in the amount of \$180.00 under 37 C.F.R. § 1.17(p).

II. Statement Under 37 C.F.R. § 1.97(e)

☐ I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or

☐ I hereby state that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge after making a reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement; or

III. Statement under 37 C.F.R. § 1.704(d)

☐ I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement.

IV. Submission of Non-English Language Documents

☒ The following is a concise explanation of relevance of the non-English language documents listed in the attached Form PTO-1449:

☒ The relevance of document(s) **BA – BG and BS** to the subject matter of the present invention is/are provided in the specification of the above-identified application.

☒ Corresponding foreign or international report(s) citing document(s) **BH, BJ, BK, BN, BO, and BQ – BT**, together with an English-language version(s) (if not already in English) of that portion of the report(s) indicating the degree of relevance found by the foreign office(s) is/are submitted.

☒ English language family member publication(s) of document(s) **BH, BJ, and BT** is/are noted on Form PTO-1449.

☒ English language abstract(s) is/are submitted for document(s) **BH, BN, BQ, and BT**.

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☐ English translation(s) of the foreign language document(s)  
\_\_\_\_\_ is/are submitted herewith.

☒ Applicant submits the following explanations: An English Translation of the title of Document BO is "Apparatus for electrochemical finishing of axially drawn profiles, especially cog wheels" and for Document BQ is "Arrangement for processing cog wheels" and for Document BR is "Arrangement for electrochemical processing or finishing lengthwise drawn, roll formed metallic profiled bodies, especially cog wheels"

V. Continuations/Divisionals

☐ Documents \_\_\_\_\_ were of record in parent application Serial No. \_\_\_\_\_, filed \_\_\_\_\_, from which this application claims benefit. As provided in 37 C.F.R. §1.98(d), copies of the documents are not being provided since they were previously submitted to or cited by the United States Patent and Trademark Office in the afore-mentioned parent application.

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicant does not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

If necessary, this paper should be considered as an authorization to charge Deposit Account 05-1323, Attorney Docket No.: 095309.57858US, for the fee set forth in 37 C.F.R. § 1.17(p).

Respectfully submitted,

June 13, 2006



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Substitute for form 1449A/PTO			<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)			Application Number	(To Be Assigned) <b>10/582721</b>
			Filing Date	<b>June 13, 2006</b>
			First Named Inventor	<b>Dirk ZEISE</b>
			Art Unit	<b>2121</b>
			Examiner Name	<b>AP20 Rec'd PTO 13 JUN 2006</b>
Sheet <b>1</b> of <b>2</b>	Attorney Docket Number		<b>095309.57858US</b>	

U.S. PATENT DOCUMENTS						
Examiner Initials'	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)				
	AA	US- 4,028,992		06-14-1977	Kuehnle	
	AB	US- 2004/0010914	A1	01-22-2004	Saysette-Rasmussen et al.	
	AC	US- 2003/0060319	A1	03-27-2003	Zelse	
	AD	US-4,772,368		09-20-1988	Rabian	
	AE	US-3,499,830		03-10-1970	Haggerty et al.	
	AF	US-5,528,952	A	06-25-1996	Takita et al.	
	AG	US-3,553,095		01-05-1971	Daniel	

FOREIGN PATENT DOCUMENTS							
Examiner Initials'	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>	
		Country Code <sup>3</sup> --Number <sup>4</sup> --Kind Code <sup>5</sup> (if known)					
	BA	DE 101 44 200 A1	03-27-2003	DaimlerChrysler AG			
	BB	DE 103 39 425 A1	03-24-2005	DaimlerChrysler AG			
	BC	DE 102 52 012 B4	04-20-2006	DaimlerChrysler AG			
	BD	DE 103 08 800 A1	09-09-2004	DaimlerChrysler AG			
	BE	DE 103 17 503 A1	11-04-2004	DaimlerChrysler AG			
	BF	DE 103 39 423 A1	03-24-2005	DaimlerChrysler AG			
	BG	DE 103 39 424 A1	03-24-2005	DaimlerChrysler AG			
	BH	WO 02/24397 A1	03-28-2002	Gearcon GmbH	Corresponds to AB above	ABS	
	BI	GB 1 346 174	02-06-1974	T. I. (Group Services) Limited			
	BJ	DE 101 47 681 A1	04-10-2003	DaimlerChrysler AG	Corresponds to AC above		
	BK	DE 29 26 255 A1	01-08-1981	Zahnradfabrik Friedrichshafen AG			
	BL	GB 2 162 454 A	02-05-1986	Dowty RotoI Limited			
	BM	EP 0 491 052 A1	06-24-1992	Shizuoka Seiko Co. Ltd.			
	BN	CH 503 547	02-28-1971	Cincinnati Milacron Inc.		ABS	
	BO	DD 74 596	02-10-1969	Forker et al.			
	BP	GB 972,620	10-14-1964	General Electric Company			
	BQ	DE 6602059 U	05-08-1969	Volkswagenwerk AG		ABS	
	BR	DD 98046	06-12-1973	Dieter et al.			
	BS	EP 1 298 353 A2	04-02-2003	DaimlerChrysler AG			
	BT	DE 44 25 496 A1	02-23-1995	Mitsubishi Materials Corp.	Corresponds to AF above	ABS	

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST 3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST 16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1460, Alexandria, VA 22313-1460.

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Substitute for form 1449B/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>		<b>Complete if known</b>			
		Application Number	(To Be Assigned)		
		Filing Date	June 13, 2006		
		First Named Inventor	Dirk ZEISE		
		Art Unit	2121		
Examiner Name	(To Be Assigned)	<b>AP20 Rec'd PCT/PTO 13 JUN 2006</b>			
Attorney Docket Number	095309.57858US				
Sheet	2	of	2		

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	CA	PCT/ISA/220, PCT/ISA/237 and an International Search Report (PCT/ISA/210) dated April 8, 2005 with an English translation of the pertinent portion (fourteen (14) pages).	
	CB	German Office Action dated April 12, 2006 (six (6) pages).	

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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